

**B. COMPLIANCE WITH NONDISCRIMINATION SAFEGUARDS**

**1. Customer Proprietary Network Information (CPNI)**

**a. Individual CPNI**

GTE will continue its existing practice of making a customer's CPNI available to any non-GTE vendor requesting it, provided that the customer has authorized such a disclosure in writing. Current procedures have operated smoothly in the past and GTE expects similar smooth operation in the ONA context.

Upon approval of this ONA Plan, the following procedures will be put into effect. GTE will treat as CPNI the type of information typically associated with a customer's billing and payment history. GTE does not propose to treat the type of information typically found in a telephone directory (i.e., the "white pages") as CPNI. GTE will prepare and disseminate notices to multi-line business customers regarding their right to authorize the release of, or restrict access to, their CPNI from any ESP they choose. Separate CPNI annual notifications will be sent to multi-line business customers with 2-20 access lines on their billing account and those with greater than 20 access lines on their billing account. The notification for business customers with 2-20 access lines will provide the customer the opportunity to restrict their CPNI from GTE's enhanced services marketing personnel. The notification for business customers with greater than 20 access lines provides the customer the opportunity to allow access to their CPNI by GTE's enhanced services marketing personnel. A sample notice is attached hereto

as Appendix 1. This notice includes a response form that a customer can use to inform GTE of its preferred CPNI treatment. GTE will honor the customer's choice to restrict release of its CPNI until that customer expressly chooses otherwise. The form will also provide for the customer's release of some or all of its CPNI for specific time periods or for specific purposes. Should a customer submit a request for restricted treatment of its CPNI before GTE sends out the notices discussed above, GTE will honor the information contained in such a request.

Appropriate employees have been and will again be trained regarding GTE's obligations with respect to CPNI. At a minimum, all marketing employees and those with immediate access to customer records will be covered. The training will clarify that those employees involved in the marketing of enhanced services are prohibited from obtaining access by any means to CPNI where a customer has chosen to restrict such information. In addition, it will clarify that it is improper for any employee to assist another employee in obtaining improper access to CPNI by any means, including disclosure of user identification numbers which grant unrestricted access to CPNI data bases or otherwise providing an unauthorized access to such data bases. The training will specify that any employee who violates the CPNI protection procedures is subject to warning, suspension or dismissal, as appropriate.

The GTE ONA Order established four basic requirements governing GTE use of CPNI. These requirements are: (1) GTE must

limit the access of its enhanced service personnel to a customer's CPNI if that customer so requests; (2) upon customer request, GTE must release a customer's CPNI to any ESP designated by the customer, and GTE must make this information available on the same terms and conditions that it makes CPNI available to its own enhanced services operations; (3) GTE must notify multiline business customers annually of these CPNI options; and (4) if GTE makes non-proprietary, aggregate CPNI availability to its own enhanced service personnel, it must make such information available on the same terms and conditions to unaffiliated ESPs.

The GTE ONA Order further requires GTE to: (1) enclose, with its CPNI notices, response forms that customers could use to make their CPNI elections; (2) accommodate requests for partial or temporary restrictions; (3) honor any customer's CPNI instructions received prior to the mailing of CPNI notification; and (4) honor a customer's election to restrict CPNI until the customer specifically revokes this choice. GTE's compliance with these requirements is discussed below.

The GTE ONA Order applies the CPNI rules, with minor exceptions, to all information about customers' network services and customers' use of those services that GTE possesses by virtue of its provision of network services. The following list reflects items that GTE will treat as CPNI: (1) Type and quantity of regulated services purchased; (2) Repair information; (3) Traffic studies; (4) Usage data; (5) Customer calling patterns; and (6) Station message detail recording (SMDR) information.

GTE will release a customer's CPNI to any unaffiliated ESP that the customer authorized, in writing, to receive the information. This information will be made available to the unaffiliated vendors on the same terms and conditions that it is made to GTE-affiliated ESPs.

When a customer chooses to restrict GTE-affiliated ESP access to its CPNI, upon the receipt of a written request to that effect GTE will mark the customer's records in its support system data base. GTE will implement a password/ID system by April 4, 1996 per the GTE ONA Order that will limit access to such marked records to GTE personnel with proper authorization. GTE or affiliated personnel involved in the marketing of enhanced services will not be granted such authorization. Thus, the marked records will be available only to GTE service representatives, possessing the appropriate password/ID clearance, for use in handling the basic service needs of such customers.

All employees having access to customer records will be re-trained to ensure that proper procedures are followed. GTE has implemented similar training procedures relative to its voice messaging and protocol conversion services. The previous training package will be revised to include all requirements of GTE's ONA Order (including an acknowledgement form explaining the severity of penalties for noncompliance). The training will clarify that those employees involved in the marketing of enhanced services are prohibited from obtaining access by any

means to CPNI where a customer has chosen to restrict such information. It will also establish that it is improper for any employee to assist another employee in obtaining improper access to CPNI by any means, including disclosure of user identification numbers or otherwise providing unauthorized access to such data bases. The training will specify that any employee who violates the CPNI restriction procedures is subject to warning, suspension or dismissal.

GTE will honor requests for restrictions in the release of their CPNI until the customer expressly chooses to rescind the restrictions. GTE will also honor customer requests for partial or temporary CPNI restrictions from selected accounts of multiple account customers. Furthermore, GTE will maintain records of and will honor restriction requests received prior to distribution of the CPNI notices discussed infra.

GTE will attribute CPNI associated with a particular basic service to the entity that is billed for the service or in whose records the information appears. In the case of customer records with call-forwarding/forward-to numbers associated with particular ESPs, GTE cannot now restrict access to or blank that particular field in its support systems. Therefore, any CPNI that might be released to a GTE-affiliated ESP would be released in a format -- such as paper or magnetic tape -- which allows the forwarded-to number to be deleted. Upon request, GTE will provide to ESPs, free of charge, bulk quantities of its CPNI notices. ESPs can provide these forms to their customers,

assisting customers who desire to implement restricted access to their CPNI.

**b. Aggregate CPNI**

GTE will make available to all unaffiliated enhanced service providers, on the same terms and conditions, any aggregate nonproprietary CPNI that is provided to any affiliated enhanced service provider. GTE will advise the industry about information that is available by appropriate means, such as company newsletters, seminars, individual personal contacts and letters. This notification will describe the available information, the terms and dates on which it can be obtained, and how parties may obtain it.

GTE proposes to make available to all ESPs basic network information. The report derived from this information will be organized by ONA deployment area and office location. The report will be updated twice each year. Notification of the availability of the report will appear in company newsletters. The reports can be acquired by writing to: GTE Information Industry Team, 600 Hidden Ridge Drive, HQE02G18, P.O. Box 152092, Irving, Texas 75015-2092. Copies of the requests will be tracked and logged.

GTE does not plan to release additional non-proprietary, aggregate CPNI to its affiliated enhanced services providers. However, if that policy should be revised, GTE will notify enhanced service providers of available aggregated CPNI through

company newsletters. Copies will be available through the GTE Information Industry Team.

**c. Password ID System Requirements**

The BOC ONA Order concluded that password ID is the preferred method for restricting CPNI access for enhanced services personnel and should be implemented by the BOCs, absent a specific showing that it would be unduly burdensome for them to do so. In the BOC ONA Amendment Order, the Commission found that the password/ID system described in the NYNEX ONA Plan was adequate for the databases to which they applied. The Commission does not require that the BOCs implement password/ID systems for auxiliary databases that contain fragmented CPNI and are not routinely accessed by enhanced services marketing personnel.

GTE will implement password protection to assure that GTE's primary databases do not permit disclosure of customer restricted CPNI to GTE personnel engaged in the sale of enhanced services. GTE will implement password protection for the Service Order Records Computer Entry System ("SORCES"), Service Order Load And Retrieval ("SOLAR"), and Customer Marketing and Service System ("CMSS") by April 4, 1996. The password/ID system will deny access by many sales and marketing employees to restricted customer records on an account basis, because their passwords will identify them as marketing enhanced services.

The account management and sales support databases described above support GTE's integrated residence and business customer

services/sales representatives. Other systems that contain CPNI, also designed to support marketing and sales activities, are not utilized by these sales representatives. These systems are primarily used for market analysis and to support on time sales campaigns. Currently, there are no plans to implement an account based password protection system for these databases similar to the SORCES/SOLAR/CMSS systems. Instead, depending on the system, (1) enhanced services marketing and sales organizations are denied access to these systems or (2) restricted CPNI is entirely removed from system data bases before enhanced services personnel are allowed access.

Numerous operations support systems (OSSs) and data bases that are not accessible to enhanced services marketing and sales personnel also contain CPNI. These systems are used for facilities assignment, provisioning, testing and maintenance, network engineering and planning, and accounting purposes. As a matter of normal security measures to protect company records from unauthorized access and tampering, it is standard operating practice that access to any particular system is limited to company personnel directly involved in those specific work processes that the system/database supports. Except as noted infra, marketing and sales personnel do not have access to the operations support systems used for these purposes. In addition, these systems are not designed for marketing and sales support, would be cumbersome to use, and contain only fragmented CPNI. Moreover, all of GTE's marketing and sales personnel will be



trained on the Commission's CPNI rules and these system restrictions and have been advised that failure to comply will result in disciplinary action up to and including dismissal. GTE has no plans to implement an account-based password protection system for these OSSs.

Selected residence and business customer service/sales representatives have access to certain operations support systems, i.e., Billing Voucher and Treatment System ("BVT") and Customer Billing Administration System ("CBAS"), which are infrequently used as auxiliary data bases for very specific purposes. These systems have other primary uses, and were specifically developed for those functions; however, in the interest of improving customer service, an access capability was provided to certain residence and business customer services/sales representatives. These service representatives use these systems to handle billing issues which would normally be directed to billing centers, verify customer address information, detect fraud, and assist in the preparation of certain complex service orders. These databases contain fragmented CPNI and have limited utility for account management and/or sales support.

In addition, as discussed previously, customer services representatives with enhanced services sales responsibilities will be specifically trained to access SORCES/SOLAR/CMSS first to determine if a customer has a restricted account. In this way, the customer service representative immediately knows by way of

the password/ID system resident in SORCES/SOLAR/CMSS if a customer has a restricted account. A customer whose account has been restricted would be handed over to a "network only" customer service representative. These customer service representatives will be notified that circumvention of these protections will result in disciplinary action up to and including dismissal. For these reasons, there are no plans to implement an account-based password protection system for these databases.

## **2. Operations Support Systems (OSS)**

GTE currently provides the same "form of access" to its operations support systems (OSS) for its enhanced services group as it does for unaffiliated ESPs in compliance with the BOC OSS Order.

If GTE decides to provide direct access to OSS for its ESP, or if requests from unaffiliated ESPs meet the Commission's assessment criteria for ONA services, then GTE will develop, provision, and tariff such access in accordance with the CEI principles of its ONA Plan.

## **3. Network Information Disclosure**

The network disclosure obligations established by the Commission in its GTE ONA Order require GTE to disclose, at two different points in time, information about changes in its networks or new network services that affect the interconnection of enhanced services with the network.

First, at the "make/buy" point (the point at which GTE decides to make itself, or procure from an unaffiliated entity, any product which affects or relies on the network interface), GTE must notify the enhanced services industry of the new or changed network service, and must disclose technical information about the new or changed service to those members of the enhanced services industry that execute a nondisclosure agreement. GTE must provide this information within thirty days of the execution of the agreement.

Second, twelve months before a new or modified network service is introduced, GTE must publicly disclose technical information about the service. If GTE can introduce the service within twelve months of the make/buy point, it may make public disclosure at the make/buy point, but not less than six months before the introduction of the service.

GTE will comply fully with the Commission's network disclosure obligations. GTE employees will be advised of the Commission's requirements, and internal processes will be established to insure compliance. In addition, GTE will use company newsletters as vehicles for disclosure. The company newsletters will be issued as required by the notification time periods and will be targeted to known participants in the information industry that have expressed their interest via participation in industry forums, trade shows and seminars.

#### **4. Nondiscrimination in Installation and Maintenance**

GTE will continue to follow its existing procedures for the installation and maintenance of its BSAs, BSEs and CNSs to all prospective users in a nondiscriminatory fashion.

Available circuits and equipment are assigned on a "first-come, first-served" basis through highly mechanized procedures that neither depend on, nor are affected by, whether a particular customer is an affiliated or nonaffiliated ESP. The circuit assignment systems do not contain information regarding the identity of customers, and GTE will make no effort during the actual facilities and equipment assignment process to determine whether a particular ordering customer is an ESP. The systems are blind to the use that a customer will make of particular facilities and equipment. Many enhanced services will rely on basic network services that are no different from those used by other customers. GTE's testing procedures are designed to assure that circuits meet tariffed standards. They are not set up to provide and generally do not contain any information related to the relative quality of available facilities and equipment.

GTE will comply with the nondiscrimination reporting requirements applicable to the BOCs. GTE will file an annual affidavit stating that it does not discriminate in providing ONA services to competitive ESPs and their customers, including the installation, maintenance, and quality of such services. GTE will file quarterly installation and maintenance reports using the reporting categories and format adopted for BOC reports as described in BOC ONA Reconsideration Order at Appendix B.

### C. NEW SERVICE REQUESTS

GTE will provide a response to each ESP request for a new ONA capability within 120 days after receiving any complete, written request. GTE's response will indicate whether GTE will provide the capability, and if so, when it will make the requested capability available, the approximate charge for the capability based upon the demand estimates provided by the requesting ESP, and any technical problems that are anticipated. GTE will utilize four criteria in its assessment of all new service requests received from ESPs. These criteria include: market demand, cost feasibility, technical feasibility, and utility as perceived by ESPs. These criteria are recognized by the Commission as the critical factors that determine whether a service is likely to be a viable offering (BOC ONA Order, 4 FCC Rcd at 207).

GTE will develop standardized procedures and forms to enable GTE to respond to ESP requests for ONA capabilities in accordance with the above commitment and the Commission's requirements. Internally generated requests from GTE's enhanced services personnel for ONA capabilities will be subjected to the same procedures and evaluation process as requests received from nonaffiliated ESPs.

ESPs will be able to initiate the review process by contacting their marketing representative or the GTE Information Industry Team to inform GTE that they wish to formally request a new ONA capability. The marketing representative or the GTE

Information Industry Team may forward the ESP's name and phone number directly to an ESP Specialist.

Normally within about two days, a GTE representative will contact the ESP and discuss the request, advise which area of the ESP Request Form should be completed for the particular request, and mail the Request Form to the ESP. After the ESP fills out the form, the ESP will mail it to the GTE Information Industry Team. The GTE Information Industry Team will screen the requests for completeness and clarity, assign each request an ESP request number, catalog the request, and remove the ESP's name and other identifying information from all those materials to be subjected to the evaluation process. If the written request form is not complete, GTE's Information Industry Team will contact the ESP to discuss what additional information is missing. The form will then be returned to the ESP for completion.

Upon receipt of a completed request for a new ONA service, the standardized form and related information will be assessed by the GTE Information Industry Team. This group will coordinate GTE's evaluation of the requested capability and the collection of information necessary to provide the ESP with a written response in accordance with the above commitment and the Commission's requirements. Any proprietary information will be treated in accordance with the terms of the standard nondisclosure agreement.

Simultaneously with the beginning of the assessment of the completed request, the GTE Information Industry Team will mail a

written confirmation of acceptance to the requesting ESP. The date on which a completed request has been received, as reflected in this written confirmation, will constitute day 1 of the request for purposes of calculating the 120 day response period. The GTE Information Industry Team will serve as the ESP's point of contact for following the status of the request.

The specific criteria that GTE will apply in determining whether an ESP request for a new ONA service is complete are reflected in its standardized Request Form. The information set forth therein is required to evaluate a request based on the four BSE selection criteria established by the Commission.

Some of the information requested in the standardized Request Form may not be relevant for a particular request and may not need to be provided. As explained above, GTE will assist ESPs in ascertaining what information may not be relevant to a particular request and any additional information which may be needed for evaluation. GTE will also develop a line-by-line instruction form to help the ESP understand what information will be needed for its request.

#### **D. APPLICATION OF COMPUTER III RULES TO BSAs AND BSEs**

GTE will offer its BSAs and BSEs in compliance with the Commission's Computer III nondiscrimination and equal access safeguard rules as outlined in this ONA Implementation Plan.

## Appendix 1

### Sample CPNI Notifications



SAMPLE

Dear Business Customer:

Each year, the Federal Communications Commission (FCC) requires us to inform business customers about the records we keep concerning their telecommunications services. The FCC term for these records is Customer Proprietary Network Information (CPNI). CPNI includes the type, locations and quantity of GTE services to which you subscribe, how much you use them, and the associated billing records. You need to know the following:

- Our account representatives use this information in providing you with telephone service. They may review your CPNI as they prepare to talk to you about new services and equipment. CPNI is an important tool we use in designing your telecommunications systems.
- Your CPNI decision on the attached reply card will determine which of our employees will serve your account. Most of our representatives can market basic telephone services (such as basic business service and CentraNet), customer premises equipment (such as telephone sets), and enhanced services (such as voice mail). Some representatives can not market enhanced services.
- A "yes" to section A.1. on the reply card will allow our representatives to consider our full range of products and services, including enhanced services, in our efforts to provide the best solutions to your telecommunications needs.
- If you do not wish your CPNI to be used by GTE account representatives, mark "no" on section A.1. However, if you mark "no", we won't be able to consider our enhanced services even if they would be helpful in meeting your telecommunications needs.
- Your records are carefully guarded. We do not provide them to other vendors of enhanced services unless you tell us to do so in writing.
- Other vendors besides GTE also provide enhanced services. You may direct us to provide your CPNI to them by filling out section B on the reply card.
- Customers with more than 20 lines must give us written permission on the attached response form before we can use their CPNI to market enhanced services to them.
- You may give permanent or temporary directions for our handling of your CPNI. Your response will apply to all lines billed to the number(s) on this account and for new services you may add later at your location.
- You may change your instructions on how you want us to handle your CPNI at any time. If you need another reply card, call the toll-free number listed below.

We want to hear from you. Please indicate your CPNI decision on the attached "CPNI Annual Customer Response Form for Enhanced Services" and return it to us in the enclosed envelope. If you have any questions, please call us at 1-800-XXX-XXXX.

Sincerely,

GTE Telephone Operations

SAMPLE

ATTACHMENT 1

**CPNI ANNUAL NOTIFICATION CUSTOMER RESPONSE FORM FOR ENHANCED SERVICES**

**GTE use of my account information for enhanced services:**

- A.1. ☐ Yes, GTE representatives who market enhanced services may refer to my account information (CPNI) in recommending telephone-related systems or services to me.
- ☐ No, at this time I don't want GTE's representatives who market enhanced services referring to my account information (CPNI).
- A.2. ☐ If you would like to restrict GTE access to your CPNI for less than one year, indicate the dates:
- \_\_\_\_\_ to \_\_\_\_\_

**DO YOU WANT YOUR TELEPHONE ACCOUNT INFORMATION RELEASED TO OTHER ENHANCED SERVICES VENDORS?**

- B.1. ☐ Yes, release my account information to those enhanced services vendors that request it.
- ☐ No, do not release my account information.
- ☐ Yes, but release my account information only to the following enhanced services vendors:

\_\_\_\_\_  
VENDOR NAME

\_\_\_\_\_  
VENDOR NAME

- B.2. Please release only the following account information:

- a. ☐ Telephone number and service location.
- b. ☐ Usage and billing data (r.g., number and length of calls)
- c. ☐ Telephone numbers called
- d. ☐ Billing name and address
- e. ☐ Type of service (e.g., Call Waiting)
- f. ☐ Class of service (e.g., business)
- g. ☐ Number of phone lines on account

- B.3. ☐ If you would like to release your CPNI to other enhanced services vendors for less than one year, indicate the dates:

\_\_\_\_\_ to \_\_\_\_\_

- B.4. ☐ Cancel all previous instructions (including letters of agency) regarding release of my account information to other enhanced services vendors.

Your signature on this reply form applies to all telephone numbers on this account and for any new services you may add later at your location. If you would like partial restriction of the telephone numbers on this account, please check below.

☐ I would like to discuss partial restriction of my CPNI with my account representative.

Your choices will remain in effect unless changed by you in writing.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
(Signature Required)

Name: \_\_\_\_\_ Position/Title: \_\_\_\_\_  
(Please Print)

Company Name: \_\_\_\_\_

Customers with more than 20 lines must give us written permission on this form before we can use their CPNI to market enhanced services to them

SAMPLE

Dear Business Customer:

Each year, the Federal Communications Commission (FCC) requires us to inform business customers about the records we keep concerning their telecommunications services. The FCC term for these records is Customer Proprietary Network Information (CPNI). CPNI includes the type, locations and quantity of GTE services to which you subscribe, how much you use them, and the associated billing records. You need to know the following:

- Our account representatives use this information in providing you with telephone service. They may review your CPNI as they prepare to talk to you about new services and equipment. CPNI is an important tool we use in designing your telecommunications systems.
- Your CPNI decision on the attached reply card will determine which of our employees will serve your account. Most of our representatives can market basic telephone services (such as basic business service and CentraNet), customer premises equipment (such as telephone sets), and enhanced services (such as voice mail). Some representatives can not market enhanced services.
- A "yes" to section A.1. on the reply card will allow our representatives to consider our full range of products and services, including enhanced services, in our efforts to provide the best solutions to your telecommunications needs.
- If you do not wish your CPNI to be used by GTE account representatives, mark "no" on section A.1. However, if you mark "no", we won't be able to consider our enhanced services even if they would be helpful in meeting your telecommunications needs.
- Your records are carefully guarded. We do not provide them to other vendors of enhanced services unless you tell us to do so in writing.
- Other vendors besides GTE also provide enhanced services. You may direct us to provide your CPNI to them by filling out section B on the reply card.
- If no response is received from you, your CPNI will generally be available for us to use in marketing GTE's complete product line.
- You may give permanent or temporary directions for our handling of your CPNI. Your response will apply to all lines billed to the number(s) on this account and for new services you may add later at your location.
- You may change your instructions on how you want us to handle your CPNI at any time. If you need another reply card, call the toll-free number listed below.

We want to hear from you. Please indicate your CPNI decision on the attached "CPNI Annual Customer Response Form for Enhanced Services" and return it to us in the enclosed envelope. If you have any questions, please call us at 1-800-XXX-XXXX.

Sincerely,

GTE Telephone Operations

SAMPLE  
ATTACHMENT 1

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GTE use of my account information for enhanced services:

- A.1. ☐ Yes, GTE representatives who market enhanced services may refer to my account information (CPNI) in recommending telephone-related systems or services to me.
- ☐ No, at this time I don't want GTE's representatives who market enhanced services referring to my account information (CPNI).
- A.2. ☐ If you would like to restrict GTE access to your CPNI for less than one year, indicate the dates:
- \_\_\_\_\_ to \_\_\_\_\_

DO YOU WANT YOUR TELEPHONE ACCOUNT INFORMATION RELEASED TO OTHER ENHANCED SERVICES VENDORS?

- B.1. ☐ Yes, release my account information to those enhanced services vendors that request it.
- ☐ No, do not release my account information.
- ☐ Yes, but release my account information only to the following enhanced services vendors:

\_\_\_\_\_  
VENDOR NAME

\_\_\_\_\_  
VENDOR NAME

- B.2. Please release only the following account information:

- a. ☐ Telephone number and service location.
- b. ☐ Usage and billing data (r.g., number and length of calls)
- c. ☐ Telephone numbers called
- d. ☐ Billing name and address
- e. ☐ Type of service (e.g., Call Waiting)
- f. ☐ Class of service (e.g., business)
- g. ☐ Number of phone lines on account

- B.3. ☐ If you would like to release your CPNI to other enhanced services vendors for less than one year, indicate the dates:

\_\_\_\_\_ to \_\_\_\_\_

- B.4. ☐ Cancel all previous instructions (including letters of agency) regarding release of my account information to other enhanced services vendors.

Your signature on this reply form applies to all telephone numbers on this account and for any new services you may add later at your location. If you would like partial restriction of the telephone numbers on this account, please check below.

☐ I would like to discuss partial restriction of my CPNI with my account representative.

Your choices will remain in effect unless changed by you in writing.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
(Signature Required)

Name: \_\_\_\_\_ Position/Title: \_\_\_\_\_  
(Please Print)

Company Name: \_\_\_\_\_